

07/09/01
JC355 U.S. PTO

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 01-06-1685
First Inventor Tsai
Title Method of Preparing Fetuin
Express Mail Label No. EL732948603US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 30]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee) ☒
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09 / 414,136

Prior application information: Examiner Celsa, B. Group Art Unit: 1627

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 23388 (Insert Customer No. 23388) or ☐ Correspondence address below

Name 23388
PATENT TRADEMARK OFFICE
Address
City State Zip Code
Country Telephone Fax

Name (Print/Type) David Hong Registration No. (Attorney/Agent) 45,704
Signature [Signature] Date 7/09 /2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 355

Compleat if Known

Application Number
Filing Date
First Named Inventor TSAI, D.
Examiner Name
Group Art Unit
Attorney Docket No. 01-06-1685

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 500703
Deposit Account Name Trojan Law Offices

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	355
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)			(\$) 355

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
9	-20** = 9	9	0
3	-3** = 0	40	0
Multiple Dependent		0	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	
103 18	203 9	Claims in excess of 20	
102 80	202 40	Independent claims in excess of 3	
104 270	204 135	Multiple dependent claim, if not paid	
109 80	209 40	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$) 0

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			
SUBTOTAL (3)			(\$) 0

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone
David Hong	45,704	(310) 777-8399
Signature	Date	7/9/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Patent, Trademark, Copyright
Trade Secret & Related Causes

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trojanlaw@aol.com

July 9, 2001

Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

VIA U.S. EXPRESS MAIL (EL732948603US)

Re: CIP U.S. Patent Application on No. 09/414,136 for
"Method of Preparing Fetuin to Induce Apoptosis"
Inventor for new CIP: Tsai, D.
Appl No.: Not assigned; Filing Date: Not assigned
Prior Appl Examiner: Celsa (Unit 1627)
Client: AMBRYX BIOTECHNOLOGY, INC.
TLO File No: 01-06-1685

Dear Madam/Sir:

Please find enclosed the following documents for a new CIP U.S. Patent Application based on Serial No. 09/414,136:

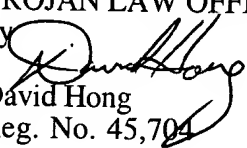
1. Utility Patent Application Transmittal (1 page);
2. Certificate of Mailing (1 page);
3. Cover Letter (1 page);
4. Return Post Card (1 page);
5. Fee Transmittal Form for FY 2001 (1 page; 1 copy).
6. Specification with Claims (3 independent; 6 dependent) (30 pages);
7. Formal Drawing Sheet (1 page);
8. Copy of Declaration of Inventor (David Tsai) (2 pages); and
9. Copy of Power of Attorney (1 page).

Please deduct the appropriate fee amount (\$355.00) from our Deposit Account No. 500703.

Very truly yours,

TROJAN LAW OFFICES

by


David Hong
Reg. No. 45,704

DH:dh
Enclosures
cc: Dr. Tsai

105020-80220660

CERTIFICATE OF MAILING (37 C.F.R. 1.10)

I hereby certify that the attached correspondence:

1. Utility Patent Application Transmittal (1 page);
2. Certificate of Mailing (1 page);
3. Cover Letter (1 page);
4. Return Post Card (1 page);
5. Fee Transmittal Form for FY 2001 (1 page; 1 copy).
6. Specification with Claims (3 independent; 6 dependent) (30 pages);
7. Formal Drawing Sheet (1 page);
8. Copy of Declaration of Inventor (David Tsai) (2 pages); and
9. Copy of Power of Attorney (1 page).

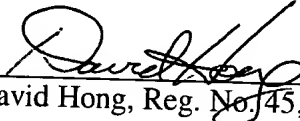
is being deposited with the U.S. Postal Service by me personally as Express Mail No. EL732948603US in an envelope addressed to::

Box Patent Application
Commissioner for Patents
Washington, D.C. 20231

on July 9, 2001,

for the following United States CIP Patent Application for
"Method of Preparing Fetuin to Induce Apoptosis"
Inventor for this new CIP: Tsai, D.
Based on Serial No. 09/414,136;
Prior Examiner: B. Celsa (Unit 1627)
Attorney Docket No: 01-06-1685.

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David Hong, Reg. No. 45,704

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